

## Electronic Acknowledgement Receipt

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|---|---|
| <b>EFS ID:</b>                              | 8392838                                       |
| <b>Application Number:</b>                  | 10767546                                      |
| <b>International Application Number:</b>    |   |
| <b>Confirmation Number:</b>                 | 6583  |
| <b>Title of Invention:</b>                  | System and method for routing a trading order |
| <b>First Named Inventor/Applicant Name:</b> | Thomas J. Daley                               |
| <b>Customer Number:</b>                     | 63710   |
| <b>Filer:</b>                               | Glen Farbanish/Laura Alto                     |
| <b>Filer Authorized By:</b>                 | Glen Farbanish                                |
| <b>Attorney Docket Number:</b>              | 04-6163                                       |
| <b>Receipt Date:</b>                        | 10-SEP-2010                                   |
| <b>Filing Date:</b>                         | 29-JAN-2004                                   |
| <b>Time Stamp:</b>                          | 13:52:24                                      |
| <b>Application Type:</b>                    | Utility under 35 USC 111(a)                   |

### Payment information:

|  |                 |
|--|-----------------|
| Submitted with Payment                   | yes             |
| Payment Type                             | Deposit Account |
| Payment was successfully received in RAM | \$180           |
| RAM confirmation Number                  | 117             |
| Deposit Account                          | 503938          |
| Authorized User                          |                 |

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## File Listing:

| Document Number                                 | Document Description                                 | File Name                        | File Size(Bytes)/ Message Digest          | Multi Part /.zip | Pages (if appl.) |
|---|--|----------------------------------|---|------------------|------------------|
| 1   | Transmittal Letter                                   | 04-6163_100910_IDS.pdf           | 43210                                     | no               | 5                |
|   |  |                                  | 62f548557bd54ec50398dc12de591bb4c9748b40  |                  |                  |
| Warnings:                                       |  |                                  |   |                  |                  |
| Information:                                    |  |                                  |   |                  |                  |
| 2   | Information Disclosure Statement (IDS) Filed (SB/08) | 04-6163_100910_1449.pdf          | 26924                                     | no               | 1                |
|   |  |                                  | 554d75bb46a133c6a89cc718c0f314b5a3f0912   |                  |                  |
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| 3   | Foreign Reference                                    | WO_2004-008296A2.pdf             | 809058                                    | no               | 20               |
|   |  |                                  | a70d8d17bdcaed1bd4da100e75f95af528dc454b4 |                  |                  |
| Warnings:                                       |  |                                  |   |                  |                  |
| Information:                                    |  |                                  |   |                  |                  |
| 4   | Foreign Reference                                    | JP_2003-515824.pdf               | 654261                                    | no               | 24               |
|   |  |                                  | 8b2d553bd03e8724086bce79b4bd87c79978d3d   |                  |                  |
| Warnings:                                       |  |                                  |   |                  |                  |
| Information:                                    |  |                                  |   |                  |                  |
| 5   | Foreign Reference                                    | JP_2002-230304.pdf               | 1326040                                   | no               | 18               |
|   |  |                                  | 2a177db59de5d16cb85da6e0cc4baef70249f99b0 |                  |                  |
| Warnings:                                       |  |                                  |   |                  |                  |
| Information:                                    |  |                                  |   |                  |                  |
| 6   | Foreign Reference                                    | JP_2003-331188.pdf               | 1266784                                   | no               | 14               |
|   |  |                                  | 62b1bdc908dc49251160f16a8d5d75b9979a705   |                  |                  |
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| Information:                                    |  |                                  |   |                  |                  |
| 7   | NPL Documents  | JP_2006-551591_OA_08-24-2010.pdf | 106801                                    | no               | 4                |
|   |  |                                  | a22f13ad7d47f8c0c6f221bd900fcd4d1b9614d2  |                  |                  |
| Warnings:                                       |  |                                  |   |                  |                  |
| Information:                                    |  |                                  |   |                  |                  |

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|------------------------------|-------------------------|----------------------------------|---|----|----|
| 8                            | NPL Documents           | JP_2006-551590_OA_08-24-2010.pdf | 164407<br>b8f012a79d62409f79607e6529318c7315a11     | no | 6  |
| Warnings:                    |                         |                                  |   |    |    |
| Information:                 |                         |                                  |   |    |    |
| 9                            | NPL Documents           | Ochiai_Electronic_Finance.pdf    | 489086<br>39cb2b24567ef5a0f8a4fc499a6ca8ab99f63c399 | no | 10 |
| Warnings:                    |                         |                                  |   |    |    |
| Information:                 |                         |                                  |   |    |    |
| 10                           | NPL Documents           | 10-767588_NOA_09-07-2010.pdf     | 54633<br>18907153bb1836ff4bcb76ebd4f3b4e8f1813ad40  | no | 3  |
| Warnings:                    |                         |                                  |   |    |    |
| Information:                 |                         |                                  |   |    |    |
| 11                           | NPL Documents           | JP_2006-551588_OA_08-31-2010.pdf | 197441<br>e7b76cda711a890677844eece50e8a26De0783e   | no | 8  |
| Warnings:                    |                         |                                  |   |    |    |
| Information:                 |                         |                                  |   |    |    |
| 12                           | NPL Documents           | JP_2006-551589_OA_08-31-2010.pdf | 190494<br>8193a78ec20014e11d78f8611378f71764b380e1  | no | 7  |
| Warnings:                    |                         |                                  |   |    |    |
| Information:                 |                         |                                  |   |    |    |
| 13                           | Fee Worksheet (PTO-875) | fee-info.pdf                     | 29681<br>023d64ecb89373c5466db0ce5aa7bb66e0cc8a26   | no | 2  |
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**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.